

### 1. Is there a person in your agency who is responsible for coordinating and overseeing the implementation of the records management program? (36 CFR 1220.34(a))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

### 2. Please provide the person's name, position title, and office.

#### Text Response

John Ellis, CRM, Records and Information Management Specialist, Office of Environmental Information (OEI), Office of Enterprise Information Program (OEIP)

### 3. How long has this person been responsible for coordinating and overseeing the implementation of the records management program?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> 5 or more years	<div></div>	1	100%
2	<input checked="" type="checkbox"/> 3 to 4 years		0	0%
3	<input checked="" type="checkbox"/> 1 to 2 years		0	0%
4	<input checked="" type="checkbox"/> Less than a year		0	0%
Total			1	

### 4. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No, pending final approval		0	0%
3	<input checked="" type="checkbox"/> No, under development		0	0%
4	<input checked="" type="checkbox"/> No		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

### 5. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> FY 2016 - present		0	0%
2	<input checked="" type="checkbox"/> FY 2014 - 2015	<div></div>	1	100%
3	<input checked="" type="checkbox"/> FY 2012 - 2013		0	0%
4	<input checked="" type="checkbox"/> FY 2011 or earlier		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
7	<input checked="" type="checkbox"/> Not applicable, agency does not have a records management directive		0	0%
Total			1	

### 6. Does your agency have a network of designated employees within each program and administrative area who are assigned records management responsibilities? These individuals are often called Records Liaison Officers (RLOs) though their titles may vary. (36 CFR 1220.34(d))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, agency has less than 100 employees		0	0%
5	<input checked="" type="checkbox"/> Not applicable, Departmental Records Officer - this is done at the component level		0	0%
Total			1	

**7. Does your agency have Internal records management training\*, based on agency policies and directives, for employees assigned records management responsibilities? (36 CFR 1220.34(f)) \*Includes NARA's records management training workshops that were customized specifically for your agency or use of an agency customized version of the Federal Records Officer Network (FRON) RM 101 course.**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

**8. Has your agency developed mandatory internal, staff-wide, formal training\*, based on agency policy and directives, which helps agency employees and contractors fulfill their recordkeeping responsibilities and covers records in all formats, including email, text messages, chat, or other electronic communication messaging applications or platforms such as social media or mobile device applications? \*\* (36 CFR 1220.34(f)) \*Includes NARA's records management training workshops that were customized specifically for your agency or use of an agency customized version of the Federal Records Officer Network (FRON) RM 101 course. \*\*Components of departmental agencies may answer "Yes" if this is handled by the department. Department Records Officers may answer "Yes" if this is handled at the component level.**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**9. Does your agency require that all senior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control? (36 CFR 1220.34(f))**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**10. Is records management training included in the new hire in-processing for new employees in your agency?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**11. Please add any additional comments about your agency for Section I: Activities. (Optional)**

#### Text Response

While EPA's Records Policy has always noted that records can be created in any format, the policy was revised to emphasize text messages as one of those formats. All Senior Officials are briefed by the Agency Records Officer or their RLO and it is made clear that the creation of a record is based on the content of the information, not the format. EPA has a guidance document and an FAQ for saving records on mobile devices. This information is communicated to staff by Records Alerts, Records Management Days, and Mandatory Records Management Training and is posted on the Agency's Records Management website. EPA revised its Records Management Policy in February 2015 to include the following language in addition to sending an alert to the records network and posting the information on the intranet: "EPA strongly discourages the use of personal email or other personal electronic messaging systems, including text messaging on a personal mobile device, for sending or receiving Agency records, but to the extent such use occurs, the individual creating or sending the record from a non-EPA electronic messaging system must copy their EPA email account at the time of transmission or forward that record to their EPA email account within 20 days of creating or sending and it must be saved as a record using EZ Email Records, or another approved recordkeeping system." In addition, in December 2014, the Agency developed a checklist for Separating and Transferring Personnel that reminds EPA personnel of all the locations and media where records may be located. EPA personnel are required to complete this form and save the records into an Agency recordkeeping system before they transfer or leave the Agency. They must also have the form signed by their supervisor and RLO. Senior Officials' checklists must be signed by their respective Information Management Officials (IMOs) before they leave the Agency to ensure that all records are captured into a recordkeeping system or turned over to successors.



**12. In addition to your agency's established records management policies and records schedules, has your agency's records management program developed and implemented internal controls to ensure that all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules? (36 CFR 1222.26(e))** \*\* These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA's Federal Records Centers) or other organizations should not be considered when responding to this question. \* Examples of records management internal controls include but are not limited to: • Regular briefings and other meetings with records creators • Approval process for handling transfer notices from Federal Records Centers • Monitoring and testing of file plans • Regular review of records inventories • Internal tracking database of permanent record authorities and dates

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**13. In addition to your agency's established policies and records schedules, has your agency developed and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e))** \*\* These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA's Federal Records Centers) or other organizations should not be considered when responding to this question. \* Examples of records management internal controls include but are not limited to: • Regular review of records inventories • Approval process for disposal notices from off-site storage • Require certificates of destruction • Monitoring shredding services • Performance testing for email • Monitoring and testing of file plans • Pre-authorization from records management program before records are destroyed • Ad hoc monitoring of trash and recycle bins • Notification from facilities staff when large trash bins or removal of boxes are requested • Annual records clean out activities sponsored and monitored by records management staff

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**14. Does your agency evaluate, by conducting inspections/audits/reviews, its records management program to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations?** \*\* For this question, your agency's records management program, or a major component of the program (e.g., vital records identification and management, the records disposition process, records management training, or the management of your agency's electronic records), must be the primary focus of the inspection/audit/review.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

No, please explain

**15. How often is your records management program, or a major component of your program, evaluated for compliance with agency records management policies and procedures?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Every 1 - 2 years		0	0%
2	<input checked="" type="checkbox"/> Every 3 - 4 years		0	0%
3	<input checked="" type="checkbox"/> Every 5 years		0	0%
4	<input checked="" type="checkbox"/> More than every 5 years		1	100%
5	<input checked="" type="checkbox"/> Do not know		0	0%
7	<input checked="" type="checkbox"/> Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

**16. Was a formal written report prepared as part of the most recent inspection/audit/review?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

**17. Do your agency's evaluation procedures include creating plans of corrective action that are monitored for implementation?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

**18. Has your agency established performance goals for its records management program? \*Examples of performance goals include but are not limited to: • Identifying and scheduling all paper and non-electronic records by the end of FY 2017 • Developing computer-based records management training modules by the end of FY 2017 • Planning and piloting an electronic records management solution for email by the end of FY 2017 • Updating records management policies by the end of the year • Conducting records management evaluations of at least one program area each quarter**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Currently under development		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**19. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.? \*Examples of performance measures include but are not limited to: • Percentage of agency employees that receive records management training in a year • A reduction in the volume of inactive records stored in office space • Percentage of eligible permanent records transferred to NARA in a year • Percentage of records scheduled • Percentage of offices evaluated/inspected for records management compliance • Percentage of email management auto-classification rates • Development of new records management training modules • Audits of internal systems • Annual updates of file plans • Performance testing for email applications to ensure records are captured**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Currently under development		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**20. Does your agency's records management program have documented and approved policies and procedures that instruct staff on how your agency's permanent records in all formats must be managed and stored? (36 CFR 1222.34(e))**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	



**21. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16) \*Departmental agency components may answer "Yes" if this is handled at the department level.**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**22. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Annually	<div></div>	1	100%
2	<input checked="" type="checkbox"/> Every 2 - 3 years		0	0%
3	<input checked="" type="checkbox"/> Every 4 - 6 years		0	0%
4	<input checked="" type="checkbox"/> Never		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**23. Is your vital records plan part of the Continuity of Operations (COOP) plan?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**24. Does your agency identify and analyze internal and external risks to records and information?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**25. Does your agency have policies in place to protect records and information from internal and external risks?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**26. The Agency Records Officer and the FOIA Officer:**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Are the same person	<div></div>	0	0%
2	<input checked="" type="checkbox"/> Coordinate closely together	<div></div>	1	100%
3	<input checked="" type="checkbox"/> Know each other but do not work together		0	0%
Total			1	

**27. Please provide the FOIA Officer's name, position title, and contact information.**

**Text Response**

Larry Gottesman, Lead FOIA Officer, Gottesman.Larry@epa.gov 202-566-2162

**28. The FOIA Officer can find records needed to respond to a FOIA request. Select on the sliding scale a number between 1 and 5, with 1 being with difficulty and 5 being easily.**

#	Answer	Min Value	Max Value	Average Value	Standard Deviation	Responses
1	<input checked="" type="checkbox"/> 1 = With Difficulty 5 = Easily	4.00	4.00	4.00	0.00	1

**29. Does your agency use software or other technology to process, track, de-duplicate responsive records, redact records, and respond to FOIA requests?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**30. Please list the software or other technology used by your agency to process, track, de-duplicate responsive records, redact records, and respond to FOIA requests.**

#### Text Responses

• MS Console, Ipro, Relativity and Encase, Adobe Professional, FOIAonline

**31. Do FOIA programs throughout your agency have standard operating procedures for the entire FOIA process including intake/triage, fees, expedited processing, search, review, estimated dates of completion, and response?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**32. Have FOIA programs throughout your agency identified performance measures for FOIA activities? \*Examples of performance measures for FOIA programs include but are not limited to: Number of pages processed Reduction in response times Reduction in backlog Increase in proactive disclosures**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent	<div></div>	1	100%
4	<input checked="" type="checkbox"/> Under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**33. Why not?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Do not know how to determine what performance measures are needed		0	0%
2	<input checked="" type="checkbox"/> My agency has performance measures but not specific to FOIA		0	0%
3	<input checked="" type="checkbox"/> Do not understand the question		0	0%
4	<input checked="" type="checkbox"/> Other, please explain		0	0%
Total			0	

#### Other / Please Explain



**34. Do FOIA programs throughout your agency alert requesters to the dispute resolution services offered by the Office of Government Information Services (OGIS)\*? \*The Office of Government Information Services (OGIS) is a FOIA resource for both the public and the Government. Congress mandated OGIS with reviewing agency compliance with FOIA, identifying policies and procedures for improving FOIA compliance, and providing mediation services to resolve FOIA disputes between Federal agencies and requesters.**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**35. Are you familiar with the changes to this law?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> To some extent		0	0%
3	<input checked="" type="checkbox"/> No		0	0%
Total			1	

**36. Has your agency started to identify records that are of general interest or use to the public that are appropriate for public disclosure? (P.L. 114-185)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**37. Please add any additional comments about your agency for Section II: Oversight and Compliance. (Optional)**

**Text Response**

EPA posts all the program's and region's essential (vital) records on a COOP network share drive as well as a COOP SharePoint site, to ensure that they are available to essential personnel during COOP exercises and in case they are needed during an actual emergency/disaster.

**38. Are records and information in your agency managed throughout the lifecycle [creation/capture, classification, maintenance, retention, and disposition] by being properly identified, classified using a taxonomy, inventoried, and scheduled? (36 CFR 1222.34, 36 CFR 1224.10 and 36 CFR 1225.12)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent	<div></div>	1	100%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**39. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes, all records are easily retrievable and accessible when needed		0	0%
2	<input checked="" type="checkbox"/> Most records can be retrieved and accessed in a timely manner	<div></div>	1	100%
3	<input checked="" type="checkbox"/> Some records can be retrieved and accessed in a timely manner		0	0%
4	<input checked="" type="checkbox"/> No		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

#### 40. When was the last time your agency submitted a records schedule to the National Archives of the United States?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> FY 2014 - 2016		1	100%
2	<input checked="" type="checkbox"/> FY 2011 - 2013		0	0%
3	<input checked="" type="checkbox"/> FY 2008 - 2010		0	0%
4	<input checked="" type="checkbox"/> FY 2007 or earlier		0	0%
7	<input checked="" type="checkbox"/> Do not know, please explain		0	0%
Total			1	

Do not know, please explain

#### 41. Does your agency have permanent records that are 30 years old or older that are located in agency office space, agency-operated records centers, and/or commercial records centers? (36 CFR 1235.12(b) and M-12-18))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

#### 42. When do you plan on transferring these records to NARA?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> FY 2017		0	0%
2	<input checked="" type="checkbox"/> FY 2018		0	0%
3	<input checked="" type="checkbox"/> FY 2019		0	0%
4	<input checked="" type="checkbox"/> FY 2020		0	0%
5	<input checked="" type="checkbox"/> After FY 2020		0	0%
6	<input checked="" type="checkbox"/> Do not know, please explain		0	0%

Do not know, please explain

#### 43. Are you aware of the requirement to formally request permission from NARA to retain permanent records beyond that time specified in your agency's NARA-approved records schedules as outlined in 36 CFR 1235.14 and 1235.16?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
Total			1	

#### 44. Does your agency disseminate every approved disposition authority (including newly approved records schedules and General Records Schedules items) to agency staff within six months of approval? (36 CFR 1226.12(a))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

#### 45. What method(s) does your agency use? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Post to internal website or other shared information location		1	100%
2	<input checked="" type="checkbox"/> Memorandum or email notification		1	100%
3	<input checked="" type="checkbox"/> Update training materials		1	100%
4	<input checked="" type="checkbox"/> Update records management policies and/or handbooks		0	0%
5	<input checked="" type="checkbox"/> Other, please explain		0	0%

Other, please explain



#### 46. Did your agency transfer permanent non-electronic records to NARA during FY 2016? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No - No records were eligible for transfer during FY 2016		0	0%
4	<input checked="" type="checkbox"/> No - New agency, records are not yet old enough to transfer		0	0%
5	<input checked="" type="checkbox"/> No - My agency does not have any permanent non-electronic records		0	0%
6	<input checked="" type="checkbox"/> Do not know		0	0%
7	<input checked="" type="checkbox"/> Other, please explain		0	0%
Total			1	

Other, please explain

#### 47. Did your agency transfer permanent electronic records to NARA during FY 2016? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
4	<input checked="" type="checkbox"/> No - No electronic records/systems were eligible for transfer during FY 2016		0	0%
5	<input checked="" type="checkbox"/> No - New agency, electronic records/systems are not old enough to transfer		0	0%
7	<input checked="" type="checkbox"/> Do not know		0	0%
8	<input checked="" type="checkbox"/> Other, please explain		0	0%
9	<input checked="" type="checkbox"/> No - My agency does not have any permanent electronic records		0	0%
Total			1	

Other, please explain

#### 48. Were the permanent electronic records transferred during FY 2016 using the Electronic Records Archives (ERA)?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

#### 49. Does your agency have a method for estimating the volume in bytes of permanent electronic records currently being maintained by your agency?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No	<div></div>	1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, my agency does not have any permanent electronic records		0	0%
Total			1	

#### 50. Does your agency track when its permanent records (regardless of format) are due to be transferred to NARA?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

### 51. What method(s) does your agency use to track its permanent records? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Rely on Federal Records Center notifications		1	100%
2	<input checked="" type="checkbox"/> Maintain an inventory		0	0%
3	<input checked="" type="checkbox"/> Database or other automated tracking		1	100%
4	<input checked="" type="checkbox"/> Manual tracking		0	0%
5	<input checked="" type="checkbox"/> Other, please explain		1	100%

Other, please explain

The National Records Management Program (NRMP) works with NARA staff to track the annual move of permanent electronic and no-electronic records due to transfer to NARA. Each year, the NRMP sends a reminder about the requirement to the RLOs. RLOs work with their program or region to ensure that the permanent records are not subject to any litigation holds, FOIA or congressional requests. Transfer documentation is prepared by NRMP in coordination with RLOs. Next NRMP works with NARA staff to transfer paper records from FRCs and electronic records via ERA or other approved methods.

### 52. Does your agency conduct, and document for accountability purposes, exit briefings for departing senior officials on the appropriate disposition of records, including email, under their immediate control? (36 CFR 1222.24 (a)(6) and 36 CFR 1230.10(a & b))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> Yes, but not documented		0	0%
3	<input checked="" type="checkbox"/> No		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

### 53. Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in exit briefings or other exit clearance processes for departing senior officials?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

### 54. Does the exit or separation process for departing senior officials include records management program staff or other designated official(s) reviewing and approving the removal of personal papers and copies of records by those senior officials? (36 CFR 1222.24(a)(6))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

No, please explain

### 55. Please add any additional comments about your agency for Section III: Records Disposition. (Optional)

Text Response

The Agency developed a checklist for Separating, Transferring or Separated Personnel that reminds them of the locations and media where records may be located. EPA personnel are required to complete this form and save the records into an Agency recordkeeping system before they transfer or leave the Agency. They must also have the form signed by their supervisor and RLO. Senior Officials' checklists must be signed by their respective IMO before they leave the Agency to ensure that all records are saved into a recordkeeping system or turned over to successors. The completed and signed forms are maintained by the RLO.

### 56. Has your agency incorporated and/or integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems? (36 CFR 1236.10)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain



**57. Does your agency have documented and approved procedures to enable the migration of records and associated metadata to new storage media or formats so that records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions? (36 CFR 1236.20(b)(6))**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**58. Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems? (36 CFR 1235.20(b)(6))**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

**59. Does your agency maintain an inventory of electronic information systems that indicates whether or not each system is covered by an approved NARA disposition authority? (36 CFR 1236.26(a))**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

No, please explain

**60. Does your agency ensure that records management functionality, including the capture, retrieval, and retention of records according to agency business needs and NARA-approved records schedules, is incorporated into the design, development, and implementation of its electronic information systems? (36 CFR 1236.12)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

No, please explain

Not applicable, please explain

**61. Does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> To some extent		1	100%
3	<input checked="" type="checkbox"/> No, please explain		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

No, please explain

Not applicable, please explain

**62. Which of these activities does your agency's records management program staff participate in to ensure that records requirements are part of the recommended solution? (Choose all that apply)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Participate in review and acceptance of proposals for new systems	<div></div>	1	100%
2	<input checked="" type="checkbox"/> Participate as stakeholder in requirements gathering	<div></div>	1	100%
3	<input checked="" type="checkbox"/> Participate as stakeholder in design phase	<div></div>	1	100%
4	<input checked="" type="checkbox"/> Participate as stakeholder in development phase including testing the system	<div></div>	1	100%
5	<input checked="" type="checkbox"/> Provide sign off authority for the implementation of new systems		0	0%
6	<input checked="" type="checkbox"/> Monitor system for adherence to standards, policies, and procedures		0	0%
7	<input checked="" type="checkbox"/> Provide information only		0	0%
8	<input checked="" type="checkbox"/> Do not know		0	0%
9	<input checked="" type="checkbox"/> Other, please explain		0	0%

Other, please explain

**63. Does your agency have documented and approved policies and procedures in place to handle email records that have a retention period longer than 180 days? (36 CFR 1236.22)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

No, please explain

**64. Does your agency have documented and approved policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA 2014-04: Appendix A, Revised Format Guidance for the Transfer of Permanent Electronic Records – Tables of File Formats Section 9 - Email? (36 CFR 1236.22(e))**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**65. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013-03) \* Examples of business need for more than one agency-administered email account may include but are not limited to: Using separate accounts for public and internal correspondence Creating accounts for a specific agency initiative which may have multiple users Using separate accounts for classified information and unclassified information**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**66. Does your agency have documented and approved policies that address these types of accounts and that state that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	



**67. Does your agency allow the use of personal email accounts to conduct official business? (36 CFR 1236.22(b))**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**68. Does your agency have documented and approved policies that address the use of personal email accounts, whether or not allowed, that state that a complete copy of all emails officers or employees create or receive in such accounts must be preserved in an appropriate agency recordkeeping system and must be forwarded to an official electronic messaging account of the officer or employee no later than 20 days after the original creation or transmission of the record? (36 CFR 1236.22(b) and P.L. 113-187)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**69. Does your agency's email system(s) retain the intelligent full names on directories or distribution lists to ensure identification of the sender and addressee(s) for those email messages that are Federal records? (36 CFR 1236.22(a)(3))**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**70. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Captured and stored in an email archiving system		0	0%
2	<input checked="" type="checkbox"/> Captured and stored in an electronic records management system		1	100%
3	<input checked="" type="checkbox"/> Captured and stored as .PST		0	0%
4	<input checked="" type="checkbox"/> Print and file		0	0%
5	<input checked="" type="checkbox"/> Not captured and email is managed by the end-user in the native system		0	0%
6	<input checked="" type="checkbox"/> Other, please be specific		0	0%

Other, please be specific

**71. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**72. Who evaluates, monitors, or audits staff compliance with the agency's email preservation policies? (Choose all that apply)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Inspector General		0	0%
2	<input checked="" type="checkbox"/> Chief Information Officer		0	0%
3	<input checked="" type="checkbox"/> Agency Records Officer		0	0%
4	<input checked="" type="checkbox"/> Other, please explain		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%

Other, please explain

**73. How often does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Every 6 months		0	0%
2	<input checked="" type="checkbox"/> Every year		0	0%
3	<input checked="" type="checkbox"/> Every 2 years		0	0%
4	<input checked="" type="checkbox"/> Less frequently than every 2 years		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Not applicable, agency does not audit staff compliance		0	0%
Total			1	100%
			1	

**74. Has your agency implemented a plan to use the "Capstone" approach for managing email records as specified in NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

No, please explain

**75. Have you submitted a retention schedule for identifying "Capstone" accounts for approval by NARA?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, already submitted NA-1005 to use GRS 6.1: Email Managed Under a Capstone Approach		1	100%
5	<input checked="" type="checkbox"/> Not applicable, planning to use GRS 6.1 but have not yet submitted NA-1005		0	0%
Total			1	

No, please explain

**76. Is your agency able to readily access usable email from departed employees?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**77. Is your agency able to prevent unauthorized access, modification, or destruction of emails?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**78. Can your agency transfer permanent email records to the National Archives of the United States in accordance with agency records schedules or General Records Schedules and NARA regulations and guidance?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	



**79. Is your agency able to decrypt permanent email records before they are accessioned by NARA?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**80. Does your agency have documented and approved policies and procedures in place to manage electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Other, please explain		0	0%
Total			1	

Other, please explain

**81. Does your agency have an approved records schedule covering electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications that meet the definition of a Federal record?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**82. Which of the following best describes the steps your agency has taken to comply with metadata bulletin NARA 2015-04 Metadata Guidance for the Transfer of Permanent Electronic Records to maintain metadata for permanent electronic records?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> We have implemented measures to comply with NARA Bulletin 2015-04		0	0%
2	<input checked="" type="checkbox"/> We have reviewed NARA Bulletin 2015-04 and are planning to implement measures to comply with NARA Bulletin 2015-04		1	100%
3	<input checked="" type="checkbox"/> We have reviewed NARA 2015-04 but have not taken steps to implement it		0	0%
4	<input checked="" type="checkbox"/> We have not reviewed NARA 2015-04		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> None of the above, please explain		0	0%
Total			1	

None of the above, please explain

**83. Which of the following best describes the level at which your organization is responsible for defining records management metadata schema\* for use across systems that maintain permanent electronic records? \*A schema is a logical plan showing the relationships between metadata elements, normally through establishing rules for the use and management of metadata specifically as regards the semantics, the syntax, and the optionality (obligation level) of values (ISO 23081.1 s3 Terms and Definitions)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> My agency has adopted an external standard (e.g., International Organization for Standardization (ISO), industry, or military standard)		0	0%
2	<input checked="" type="checkbox"/> Defining records management metadata schema is done at the department level and used enterprise wide (i.e. all entities within the department use the same one)		1	100%
3	<input checked="" type="checkbox"/> Defining records management metadata schema is done at the individual component agency/bureau/office level (i.e. each uses its own unique one)		0	0%
4	<input checked="" type="checkbox"/> As an independent agency, records management metadata schema is defined and mandated for use across the agency by the Office of the Chief Information Officer		0	0%
5	<input checked="" type="checkbox"/> My agency/component/bureau/office does not have or use a metadata schema		0	0%
6	<input checked="" type="checkbox"/> Do not know		0	0%
7	<input checked="" type="checkbox"/> None of the above, please explain		0	0%
Total			1	

None of the above, please explain

**84. Which of the following best describes your agency's use of controlled vocabularies, thesauri, or term lists that ensure consistent data entry of metadata?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> My agency/component developed its own based on internal practices		0	0%
2	<input checked="" type="checkbox"/> My agency/component has adopted an external standard (e.g., ISO, industry, military standard)		0	0%
3	<input checked="" type="checkbox"/> Controlled vocabularies, thesauri, or term lists are defined by the department and mandated for use by all agencies/bureaus/offices		0	0%
4	<input checked="" type="checkbox"/> As an independent agency, controlled vocabularies, thesauri, or term lists are defined and mandated for use across the agency by the Office of the Chief Information Officer		0	0%
5	<input checked="" type="checkbox"/> My agency/component does not use controlled vocabularies, thesauri, or term lists		1	100%
6	<input checked="" type="checkbox"/> Do not know		0	0%
7	<input checked="" type="checkbox"/> None of the above, please explain		0	0%
Total			1	

None of the above, please explain

**85. Please add any additional comments about your agency for Section IV: Electronic Records. (Optional)**

**Text Response**

Regarding questions 74 and 75 about Capstone, EPA does plan to implement Capstone and has submitted Form NA 1005 to NARA for review and approval. We are currently exploring technical options for implementation. As supplement to Question 67 above, EPA does not strictly prohibit, but strongly discourages the routine use of personal email accounts to conduct official business. Specifically, EPA's policy states that Official Agency business should first and foremost be done on official EPA information systems. EPA strongly discourages the use of personal email or other personal electronic messaging systems, including text messaging on a personal mobile device, for sending or receiving Agency records, but to the extent such use occurs, the individual creating or sending the record from a non-EPA electronic messaging system must copy their EPA email account at the time of transmission or forward that record to their EPA email account within 20 days of creation or sending.

**86. Does your agency have an SAO for Records Management? (If you are a component of a department, you may answer "Yes," even if this is not being done at the component level.)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**87. Does your Agency Records Officer meet regularly (four or more times a year) with the SAO for Records Management to discuss the agency records management program goals?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**88. Did your agency meet the deadline to submit records schedules for all unscheduled paper and other non-electronic records by December 31, 2016?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes - All retention schedules have been submitted and approved by NARA		1	100%
2	<input checked="" type="checkbox"/> Yes - Retention schedules have been submitted and are pending NARA approval		0	0%
3	<input checked="" type="checkbox"/> No - Retention schedules are in draft form and have not yet been submitted to NARA		0	0%
4	<input checked="" type="checkbox"/> No		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Other, please explain		0	0%
Total			1	

Other, please explain

**89. Does your agency have a method of continually identifying new and unscheduled records?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	



### 90. Which method(s) does your agency use? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Regular surveys		0	0%
2	<input checked="" type="checkbox"/> Regular inventories		1	100%
3	<input checked="" type="checkbox"/> Records management evaluations, site assessments, or audits of program offices		0	0%
4	<input checked="" type="checkbox"/> Work with program managers to identify new programs and related records		1	100%
5	<input checked="" type="checkbox"/> Work with Privacy Officer and review SORNs (Systems of Records Notices)		1	100%
6	<input checked="" type="checkbox"/> Work with FOIA Officer		0	0%
7	<input checked="" type="checkbox"/> Records Liaison Officers notify Agency Records Officer of new record series		1	100%
8	<input checked="" type="checkbox"/> Require use and annual update of file plans		0	0%
9	<input checked="" type="checkbox"/> Participate in design and retirement of information systems and note changes in records		0	0%
10	<input checked="" type="checkbox"/> Outreach and awareness		1	100%
11	<input checked="" type="checkbox"/> Other, please explain		1	100%

Other, please explain

The RLOs and records contacts in each program and region report any new programs or initiatives that may create or receive new series of records to the National Records Management Program (NRMP). The NRMP also reviews all communications such as progress reports, program office weekly reports, mass mailers introducing new projects, EPA's website and public news source looking for instances where new records series might be created or received by EPA staff.

### 91. Has your agency identified any additional unscheduled records that have not already been reported to NARA?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

### 92. Does your agency use cloud services?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

### 93. For what purpose(s) is your agency using cloud services? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Email		1	100%
2	<input checked="" type="checkbox"/> Administrative functions such as payroll, purchasing, and financial management		1	100%
3	<input checked="" type="checkbox"/> Mission/program-related functions		1	100%
4	<input checked="" type="checkbox"/> Other, please explain		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%

Other, please explain

### 94. Are recordkeeping requirements included?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**95. Will your agency use the new Records and Information Management Series, 0308, (job series) released by the Office of Personnel Management in 2015?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No	<div></div>	0	0%
3	<input checked="" type="checkbox"/> Do not know	<div></div>	0	0%
4	<input checked="" type="checkbox"/> Not applicable, my agency does not use the General Schedule (GS) job classifications	<div></div>	0	0%
Total			1	

**96. Why will your agency NOT be using the new job series?**

Text Response

**97. Does your agency use your RMSA scores to measure the effectiveness of the records management program?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div></div>	1	100%
2	<input checked="" type="checkbox"/> No	<div></div>	0	0%
3	<input checked="" type="checkbox"/> Do not know	<div></div>	0	0%
4	<input checked="" type="checkbox"/> Comments (Optional): Please include in your comments how you use the RMSA	<div></div>	0	0%
Comments (Optional): Please include in your comments how you use the RMSA				

**98. How many full-time equivalents (FTE) are in your agency/organization? (Choose one)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> 500,000 or more FTEs	<div></div>	0	0%
2	<input checked="" type="checkbox"/> 100,000 – 499,999 FTEs	<div></div>	0	0%
3	<input checked="" type="checkbox"/> 10,000 – 99,999 FTEs	<div></div>	1	100%
4	<input checked="" type="checkbox"/> 1,000 – 9,999 FTEs	<div></div>	0	0%
5	<input checked="" type="checkbox"/> 100 – 999 FTEs	<div></div>	0	0%
6	<input checked="" type="checkbox"/> 1 – 99 FTEs	<div></div>	0	0%
7	<input checked="" type="checkbox"/> Not Available	<div></div>	0	0%
Total			1	

**99. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Senior Agency Official	<div></div>	1	100%
2	<input checked="" type="checkbox"/> Office of the General Counsel	<div></div>	1	100%
3	<input checked="" type="checkbox"/> Program Managers	<div></div>	1	100%
4	<input checked="" type="checkbox"/> FOIA Officer	<div></div>	1	100%
5	<input checked="" type="checkbox"/> Information Technology staff	<div></div>	0	0%
6	<input checked="" type="checkbox"/> Records Liaison Officers or similar	<div></div>	0	0%
7	<input checked="" type="checkbox"/> Administrative staff	<div></div>	0	0%
8	<input checked="" type="checkbox"/> Other, please be specific:	<div></div>	1	100%
9	<input checked="" type="checkbox"/> None	<div></div>	0	0%

Other, please be specific:

The National Records Management Program (NRMP) Staff (FTEs and NRMP Contractors) and Management

**100. How much time did it take you to gather the information to complete this self-assessment?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Under 3 hours	<div></div>	0	0%
2	<input checked="" type="checkbox"/> More than 3 hours but less than 6 hours	<div></div>	0	0%
3	<input checked="" type="checkbox"/> More than 6 hours but less than 10 hours	<div></div>	0	0%
4	<input checked="" type="checkbox"/> Over 10 hours	<div></div>	1	100%
Total			1	



**101. Did your agency's senior management review and concur with your responses to the 2016 Records Management Self-Assessment?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**102. Please provide your contact information.**

Name:	Agency, Bureau, or Office:	Job Title:	Email Address:	Phone Number:
John B. Ellis, CRM	Environmental Protection Agency	Records and Information Management Specialist	ellis.john@epa.gov	202-566-1643

**103. Are you the Agency Records Officer?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
Total			1	

**104. Please provide the Agency Records Officer's contact information.**

Name:	Email Address:	Phone Number:

**105. Do you have any suggestions for improving the Records Management Self-Assessment next year?****Text Response**

More options to include additional information and shorten the report.

**106. Q\_URL**

Value	Total
/SE/?SID=SV_5zLKurmryiJzW8R&Q_R=R_6zo2PpcZEcdVYgd&Q_R_DEL=1	1

**107. SSID**

Value	Total

**108. Score**

Statistic	Value
Mean Score	92.00
Score Standard Deviation	0.00
Weighted Mean of Items	0.84
Weighted Standard Deviation of Items	1.33
Items	109.00